

**MN Department of Human Services**  
**Social Services Manual**

**Quality Assurance**

**X-1000**

Not revised

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**Quality Assurance**

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# MN Department of Human Services

## Social Services Manual

### Monitoring

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### Introduction

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### Authority

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1. Minn. Stat. 256E.05 (1984) (Community Social Services Act: Duties of Commissioner of Human Services).
2. Minn. Stat. 256.01 (1984) (Powers, Duties of Commissioner of Human Services).
3. Minn. Stat. 393.07 (1984) (Powers and Duties of County Welfare Board).
4. Minnesota Rules, parts 9555.0010 to 9550.0092 (Administration of Community Social Services).

### Definitions

X-1120

1. Monitoring: An interim or ongoing quantitative assessment of social services delivery and reporting in relationship to state and local plans.
2. Supervision: The process of helping an individual, group, or component of a system use and increase its knowledge and skills in such a way that organizational objectives are met.

### State Responsibility

X-1130

The Minnesota Department of Human Services places responsibility for monitoring within the County Administration Section in the Community Social Services Division.

The County Administration Section shall gather information necessary to establish goals, set priorities, and assess conformance with the local Community Social Services Act Plan, federal regulation, state law, State Agency rules and internal management procedures.

### State Activity

X-1140

To fulfill its monitoring responsibilities, the County Administration Section:

1. Develops and maintains a comprehensive monitoring system which assures that state and local social services operations meet the objectives of the local CSSA plans, federal regulations, state law, and State Agency rules and internal management procedures.
2. Develops and implements forms, procedures and instructions for local agencies to use in monitoring the delivery of social services provided directly or purchased.
3. Develops, coordinates, and implements a monitoring and reporting system that provides information for decisionmaking to the State Agency and local agencies, and provides a base for increased social services accountability for the benefit of clients, managers, and the general public.
4. Conducts direct monitoring reviews of social services provided directly or purchased by local agencies.

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5. Conducts studies to validate the monitoring performed by local agency monitors.
6. Provides consultation and technical assistance to the monitoring staff of local agencies.
7. Conducts direct monitoring of purchase of service contracts with other state departments and agencies.

## **Local Responsibility**

**X-1150**

Each local agency shall identify a person or persons responsible for monitoring and evaluating social services. This person shall be responsible for completing assessments of the Case Operation System (COS), Purchase of Service, and narrative recording requirements.

## **Assessment of Purchase of Service**

**X -1200**

When social services are purchased, the local agency shall assess the purchase of service process.

This assessment shall include use of the following forms:

1. Grants and Purchase of Service Compliance Review (DHS-2007). (See SSM X-1210)
2. Social Service Contract Administration File Review Guide (DHS-2009). (See SSM X-1220)
3. Quarterly Purchase of Service Monitoring Update Report (DHS-2020). (See SSM X-1230)

The monitoring unit in the local agency shall maintain the original copy of these forms in the purchase of service administrative file. Copies of these forms shall be directed to:

1. Director of the local agency.
2. Director of the provider agency.
3. County Administration Section, Community Social Services Division, Department of Human Services, St. Paul, Minnesota 55155

## **Grants and Purchase of Service Compliance Review (DHS-2007)**

**X-1210**

### **Purpose**

**X-1211**

This form identifies the recommended contract requirements. The instrument also identifies contract deficiencies and the action needed to correct those deficiencies.

This form may be duplicated as necessary.

### **Policy**

**X-1212**

Contract deficiencies shall be identified and the necessary corrective action stated on the Grants and Purchase of Service Compliance Review (DHS-2007).

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Each contract shall be reviewed at least once a year, with the use of this form, or more frequently if corrective action is indicated, to verify that the contract is brought into compliance with standards of the rule for the Administration of Community Social Services.

### **Components of Grants or Contracts Review**

**X-1213**

1. A beginning and ending date.
2. An explicit description of services to be provided.
3. The total dollar amount.
4. The unit cost of the services provided.
5. A statement identifying the agency responsible for making preliminary determination of client eligibility in accordance with criteria established by the CSSA Plan.
6. A statement that the amount, frequency, and duration of purchased services will be provided in accordance with the client's individual service plan and, where applicable, the individual habilitation plan, and shall be directed toward the clients achievement of goals and objectives.
7. Procedures for discharge or termination of services to individual clients.
8. Specification of the site(s) where service will be provided.
9. Procedures for certification of expenditures.
10. Procedures for reimbursement.
11. Specification of program and fiscal records to be maintained by the vendor.
12. A retention schedule for program and fiscal records.
13. Specification of local agency procedures for monitoring and evaluating the grant or contract in accordance with Minnesota Rules, part 9550.0040.
14. A statement of compliance with the Minnesota Government Data Practices Act.
15. Provisions for bonding, indemnification, auditing, and insurance.
16. Specification of grounds for termination.
17. Provisions to permit the local agency, the state agency, and the Department of Health and Human Services access to program and fiscal records.
18. Evidence of licensure and a listing of staffing including job descriptions, organization chart, and professional qualifications of personnel.

NOTE: Components of this provision may be contained in an addendum.

19. Specification that the provider will comply with the requirements of the Civil Rights Act of 1964.

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20. Provision for a fair hearing of client grievances in accordance with the Minn. Stat. 256.045 and Minnesota Rules, part 9550.0092.
21. Specification of the method of collection and disposition of fees when delegated to the vendor agency.
22. Specification that contractor performance will be evaluated in accordance with client outcomes as specified in individual client services plans.
23. Dated signatures by all parties to the contract, including the county attorney.
24. Agreement not to enter into any subcontracts without written approval of the local social services agency.

**Part 9550.0040**

## **Social Service Contract Administration File Review Guide (DHS-2009) X-1220**

This form provides documentation for administrative file requirements in accordance with existing policy.

The review guide for each contract shall be completed at least annually on each contract to verify that administrative file requirements have been met.

This form may be duplicated as necessary.

## **Quarterly Purchase of Service Monitoring Update Report (DHS-2020) X-1230**

This report summarizes contract monitoring activity for each respective quarter.

Quarterly reports shall be due on January 10, April 10, July 10, and October 10 of each year.

They shall be submitted to:

County Administration Section  
Community Social Services Division  
Department of Human Services  
St. Paul, Minnesota 55155

This report form may be duplicated as necessary.

## **Social Services Plan Review (DHS 569)**

**X-1300**

The Social Service Plan Review (DHS 569) provides a tool for supervisory personnel to obtain an assessment of the implementation of social services policy as prescribed in SSM IV-5000. Information from this Review is compiled to provide an overview of state and county compliance with narrative recording requirements. Instructions for completion of the form are on the reverse side.

Each local social services agency shall designate one staff person as agency monitor. This is necessary so that the Department can, as necessary, communicate with this individual.

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The monitor shall review two cases each month for each social service case worker, using the DHS-569 as the basic monitoring instrument.

NOTE: Different services and programs often require additional documentation. Depending on the type of case record reviewed, these additional requirements must be met if the case record is to be in compliance.

Additional copies of DHS-569 are available from the Department of Human Services, Forms Supply.

### **Social Service Plan Review Report (DHS-1816)**

**X-1310**

Social Service Plan Review Report (DHS-1816) is a report of the aggregate findings from the Social Service Plan Review (DHS-569). This form is not in supply at DHS Central Stores.

The sample size is a total of yes and no responses. Nonapplicable responses are not computed in the sample size. The sample size may differ from section to section. The percentage of compliance is computed by dividing yes responses by the sample size.

#### **Itemization of Deficiencies**

**X-1311**

Tabulate by counting each deficiency indicated on the Social Service Plan Review (DHS-569). For example Section III, letter D, seven deficiencies. These items specify the exact area in which the case narratives have been found deficient.

#### **Submission to State Agency**

**X-1312**

Complete the entire form for each sample reviewed and return it with the white copies of the Social Service Plan Review (DHS-569) to:

Monitoring and Reporting Section  
Division of Social Services  
Department of Public Welfare  
St. Paul, Minnesota 55155

### **Social Services Plan Review Summary**

**X-1400**

The Social Services Plan Review Summary Report is used to tabulate the findings from DHS-569 Social Service Plan Review.

The summary shall be completed by the 10th of the month following the review period and shall be submitted together with one copy of each DHS-569 completed to the:

County Administration Section  
Community Social Services Division  
Department of Human Services  
St. Paul, Minnesota 55155

This form may be duplicated as necessary.